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PTO/SB/05 (11-00)
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	GS 149
	First Inventor	Fwu-Iuan Hsbich et al.
	Title	METHOD OF FORMING NARROW TRENCHES IN
	Express Mail Label No.	ET477939696US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents, Box Patent Application Washington, D.C. 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original, and a duplicate for fee processing)</i>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program <i>(Appendix)</i>
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
3. <input checked="" type="checkbox"/> Specification <i>[Total Pages 14]</i> <i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings <i>(if filed)</i> - Detailed Description - Claim(s) - Abstract of the Disclosure 	a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <i>[Total Sheets 6]</i>	ACCOMPANYING APPLICATION PARTS
5. Oath or Declaration <i>[Total Pages 3]</i> <ul style="list-style-type: none"> a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> <ul style="list-style-type: none"> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 	
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: _____ / _____ Prior application information: Examiner _____ Group / Art Unit _____	
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.	

19. CORRESPONDENCE ADDRESS			
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Name (Print/Type)	Karin L. Williams	Registration No. (Attorney/Agent)	36,721
Signature	<i>Karin L. Williams</i>	Date	11/20/01

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT**\$798.00****Complete if Known**

Application Number	Unassigned
Filing Date	Filed Herewith
First Named Inventor	Fwu-Iuan Hsieh et al.
Examiner Name	Unassigned
Group Art Unit	Unassigned
Attorney Docket No.	GS 149

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number**Mayer Fortkort & Williams, PC**Deposit
Account
Name**50-1047**

- ☒
- Charge Any Additional Fee Required
-
- Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status.
See 37 CFR § 1.27

- 2.
- ☐
- Payment Enclosed:

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Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	740.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) \$740.00**2. EXTRA CLAIM FEES**

Extra Claims	Fee from below	Fee Paid
Total Claims 21 -20** = 1 X	18.00	18.00
Independent Claims 2 -3** = 0 X	84.00	0.00
Multiple Dependent		

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$18.00

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non - English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR § 1.17(q)	
126 180	126 180	Submission of Information Disclosure Statement	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$40.00**SUBMITTED BY**

Name (Print/Type)

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(Attorney/Agent)

36,721

Complete (if applicable)

Telephone

908-518-7700

Signature

Karin L. Williams

Date

11/20/01

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† admitted in Virginia
§ admitted in Washington, D.C.

November 20, 2001

Assistant Commissioner for Patents
Box Filing Date
Washington, DC 20231

Dear Sir:

Re: New U.S. Patent Application
Inventor: Fwu-Iuan Hshieh et al.
Filed: Herewith
Title: METHOD OF FORMING NARROW TRENCHES IN
SEMICONDUCTOR SUBSTRATES
Docket: GS 149

I hereby declare that I attempted to deposit the above-referenced new U.S. Patent Application with the United States Postal Service (USPS, Westfield, New Jersey) as Express Mail under 37 CFR 1.10 on November 20, 2001, and the USPS refused to accept this correspondence due to the recent emergency.

Per the instructions provided by the US PTO website (www.uspto.gov/september11/uspsmaildisrup.htm), the above-referenced application has been re-deposited with the USPS on November 20, 2001 as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, BOX FILING DATE, Washington, DC 20231.

A November 20, 2001 filing date is respectfully requested.

Yours truly,
MAYER FORTKORT & WILLIAMS, PC*Marjorie Scariati*
Marjorie Scariati
Patent Paralegal

Enclosure

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Fwu-Iuan Hshieh et al.			Docket No. GS 149
Serial No. Unassigned	Filing Date Filed Herewith	Examiner Unassigned	Group Art Unit Unassigned
Invention: METHOD OF FORMING NARROW TRENCHES IN SEMICONDUCTOR SUBSTRATES			
<p>I hereby certify that this <u>New U.S. Patent Application</u> <i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>11/20/01</u> <i>(Date)</i></p> <div style="text-align: right; margin-top: 20px;"> <u>Marjorie Scariati</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i> <u><i>Marjorie Scariati</i></u> <i>(Signature of Person Mailing Correspondence)</i> <u>ET477939696US</u> <i>("Express Mail" Mailing Label Number)</i> </div>			
Note: Each paper must have its own certificate of mailing.			

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
GS 149

In Re Application: **Fwu-Iuan Hshieh et al.**

U.S. PATENT
10/010162
11/20/01

Serial No.
Unassigned

Filing Date
Filed Herewith

Examiner
Unassigned

Group Art Unit
Unassigned

METHOD OF FORMING NARROW TRENCHES IN SEMICONDUCTOR SUBSTRATES

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
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Marjorie Scariati
Signature of Person Mailing Correspondence

Marjorie Scariati

Typed or Printed Name of Person Mailing Certificate

***This certificate may only be used if paying by deposit account.**

Karin L. Williams
Signature

Dated: *11/20/01*

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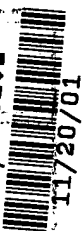
CC:

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) r 1.97(c))

Docket No.
GS 149

In Re Application Of: **Fwu-Iuan Hshieh et al.**

1017 U.S. PRO
10/010162



Serial No.
Unassigned

Filing Date
Filed Herewith

Examiner
Unassigned

Group Art Unit
Unassigned

Title: **METHOD OF FORMING NARROW TRENCHES IN SEMICONDUCTOR SUBSTRATES**

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).